



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification ⁷ : A61K 47/48	A2	(11) International Publication Number: WO 00/50090 (43) International Publication Date: 31 August 2000 (31.08.00)
(21) International Application Number: PCT/US00/04922 (22) International Filing Date: 25 February 2000 (25.02.00) (30) Priority Data: 60/121,391 25 February 1999 (25.02.99) US Not furnished 25 February 2000 (25.02.00) US (71) Applicant: DCV, INC. [US/US]; 3521 Silverside Road, Quillen Building, Wilmington, DE 19810 (US). (72) Inventors: ANGERER, J., David; 11 Slashpine Circle, Hockessin, DE 19707 (US). CYRON, Donald, M.; 531 School Road, Lincoln University, PA 19352 (US). IYER, Subramanian; #4 Homestead Lane, Hockessin, DE 19707 (US). JERRELL, Thomas, A.; 11 Sullivan Chase Drive, Avondale, PA 19311 (US). (74) Agent: KRIKELIS, Basil, S.; DCV, Inc., 3521 Silverside Road, Quillen Building, Wilmington, DE 19810 (US).		(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG). Published <i>Without international search report and to be republished upon receipt of that report.</i>
(54) Title: DRY ACID-CHITOSAN COMPLEXES (57) Abstract The invention is an acid-chitosan complex which is made up of chitosam, a sufficient amount of one or more acids, and an effective amount of water. This acid-chitosan is water-soluble in a dry form. A further aspect of this invention is various methods for producing such a water-soluble acid-chitosan complex and methods for using this acid-chitosan complex, particularly for reducing fat absorption in an animal.		

FOR THE PURPOSES OF INFORMATION ONLY

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

DRY ACID-CHITOSAN COMPLEXES

FIELD OF THE INVENTION

5 The present invention relates to essentially dry complexes of acid and chitosan which are water-soluble. More specifically, the invention relates to water-soluble acid-chitosan complexes, methods for forming such complexes and uses of these acid-chitosan complexes for, among other things, prevention of fat digestion.

BACKGROUND OF THE INVENTION

10 When chitosan is prepared from the chitin fraction of the shells of crustacea, such as shrimp, crab and lobster, the final step is invariably and of necessity a treatment with extremely strong sodium hydroxide. This is the predominant industrial treatment that effectively removes acetyl groups from chitin, converting it into chitosan. Because of this treatment, chitosan is always found as an
15 aminopolysaccharide with essentially none of the amino groups being protonated. This can be referred to as the free base form of chitosan. This natural form of chitosan is not soluble in water. In order to dissolve chitosan in water-based systems, the chitosan must be made more hydrophilic. This is done by adding acid to the water being used in dissolution. The acid reacts with the amino
20 groups, converting them into (substituted) ammonium ions, which are much more hydrophilic than the amino groups. When chitosan is added to this acid-water mix, it becomes protonated. A fully protonated (i.e., each amino group has reacted with a proton from the acid) chitosan is the other extreme of chitosan. It should be noted, however, that essentially no protonation of chitosan will result if
25 a dry acid and chitosan are merely physically blended. It is necessary to give the acid molecule mobility, which is done by the addition of water.

Chitosan is presently used as a dietary supplement to prevent some of the ingested fat in a person's diet from being absorbed and metabolized. It is thus an agent to
30 help control obesity. When a person takes a dosage of chitosan, the chitosan exerts a demand on the stomach to produce hydrochloric acid in order to dissolve it. It is understood in the art that the chitosan must dissolve to be able to occlude the fat, which can thereafter be passed through the digestive tract and subsequently expelled from the body. Since the body's capacity for producing

hydrochloric acid is limited, an agent that supplies part of the necessary acidity would be beneficial to chitosan's performance.

Merely treating chitosan with hydrochloric acid in a manufacturing process to form a water-soluble chitosan, however has an unintended and devastating side effect. It has been observed that these hydrochloric acid salts of chitosan undergo depolymerization upon storage, producing a product with too low a molecular weight to perform in the desired manner.

Presently, in the art, water-soluble chitosans are prepared by making a slurry of the chitosan in water and then adding acid to the slurry. Alternatively, one may make a solution of the acid and water and then add the chitosan under effective agitation conditions. It would be convenient, however, and represent an advance in the art, were all or part of the acid to be compounded with the chitosan thus providing a uniform dry complex which can be a shelf-stable product that will result in a reduced demand on the stomach for acid. To date, the only way to prepare such a complex has been achieved, with great difficulty, has been for the manufacturer to 1) dissolve the chitosan in aqueous acid, 2) filter the very viscous solution to remove insolubles, if necessary, and 3) spray dry the resulting solution to form a chitosan salt that is water soluble. Such a process is cumbersome, expensive and ineffective for an economically viable commercial process. Therefore, there is a need in the art for a more efficient and effective method of preparing chitosan salts.

SUMMARY OF THE INVENTION

It is a primary object of this invention to provide a water-soluble, acid-chitosan complex.

It is also an object of the invention to provide a water-soluble acid-chitosan complex produced by a process comprising:

- (1) forming a homogenous mix of chitosan and a sufficient amount of an acid; and
- (2) adding an effective amount of water to the homogenous mix to form a uniform complex.

It is a further object of the invention to provide a water-soluble acid-chitosan complex produced by a process comprising:

- (1) dissolving an acid in water; and

- (2) applying the acid-water mix to chitosan to form a complex wherein the chitosan is not dissolved; and
 - (3) drying the complex.
- 5 It is an additional object of the invention to provide a method for reducing the release of triglycerides into the blood stream of an animal by administering to the animal an effective amount of a water-soluble acid-chitosan complex.

DETAILED DESCRIPTION OF THE INVENTION

- 10 The applicants have found that the physical blending of dry acid and chitosan, with the addition of controlled amounts of water, gives the acid molecules the needed mobility to accomplish protonation and thus move from a physical mixture to a complex (further defined below). The result of such a treatment is a state, or complex, somewhere between full-protonation and no protonation. The
- 15 exact composition of the complex is dependent on the amount of water and acid used and the water solubility of the acid being used in the treatment. A more soluble acid, a higher amount of acid and/or the use of higher levels of water will result in a complex that is nearer to the fully-protonated extreme, whereas the use of a less soluble acid, lesser amounts of acid and/or lesser amounts of water will
- 20 result in a complex that is much less protonated.

Definitions:

The following definitions apply throughout:

- 25 The term "acid-chitosan mixture" means the physical blend of dry acid and chitosan wherein no protonation of any significance of the chitosan occurs.

- The term "acid-chitosan complex" means the mixture of acid and chitosan with the addition of controlled amounts of water to form a uniform, free-flowing mix
- 30 such that the acid molecules attain the necessary mobility to accomplish at least partial protonation of the chitosan, to allow the acid-chitosan combination to become water-soluble.

The term "finished moisture level" means the weight percent of water in an acid-chitosan complex, based on the total weight of the complex, following the agitation step and before any optional or necessary drying of the complex is performed.

5

The Invention:

It is the applicants' discovery that a water-soluble acid-chitosan complex may be easily and effectively produced by adding varying amounts of one or more acids and a modest amount of water to a sufficiently-agitated chitosan powder or flake, mixing to achieve uniformity and, if necessary, drying the resulted hydrated crumb. By this technique, one can vary the amount of acid used from a very small amount up to essentially a stoichiometric quantity, and water-soluble acid-chitosan complexes may be prepared that range from completely water-soluble to hydratable and soluble by the addition of lesser quantities of acid than with native chitosan.

15

The technique and amount of water and acid addition are important to the successful practice of the present technology. Water is added as a carrier for the acid, allowing it to dissolve, ionize and penetrate the chitosan particle, and carry out at least partial protonation, thereby producing a complex of at least partial salt formation between the acid and the chitosan. If too little water is added, the acid molecules will not be sufficiently mobile to penetrate the particle and give a uniform product. If too much water is added, the hydrated chitosan will begin to approach a solution; this is not desired because large, hydrated gel masses may form and the product becomes very difficult to process through the necessary (in that case) drying and grinding operations required to produce a finished, marketable product. In this respect, it is preferred that the amount of water used be in the range of approximately 5% to 130% of the total weight of the chitosan and the acid, and more preferable that the amount of water added be in the range of 5% to 15%.

20
25
30

The acid to be used must be sufficiently water soluble to at least partially dissolve in the water used. In the case of less soluble acids, longer mix times may be

necessary to give a more uniform product. This is generally necessary to form the water-soluble acid-chitosan complex, otherwise a true complex will not be formed, and instead, a partial complex and what is essentially a non-homogeneous mixture of acid and chitosan will form.

5

If the acid is a liquid, it is preferred that it be dissolved in the process water and thereafter sprayed onto the chitosan. If the acid is a solid, it may either be dry-blended or, if it is sufficiently water soluble, it may be dissolved in the water and the solution sprayed onto the chitosan powder or flake. Because a major necessity of the process is the diffusion of the acid, mediated by the water, into the chitosan solid, it may be easily seen that a period of mixing of the acid with the chitosan subsequent to the introduction of water to the chitosan is necessary to assure a homogeneous product.

10

The acids that are operative in the process preferably include, but are not limited to, hydrochloric, acetic, lactic, glycolic, nitric, malic, pyruvic, citric, ascorbic, and other physiologically acceptable carboxylic acids. Other acidic substances, such as betaine hydrochloride or amine hydrochlorides, such as glycine hydrochloride, which are more acidic than the amino group on chitosan, are also effective.

15

The crux of the invention is that the use of acid and water with the chitosan and with good agitation allows a reaction between the acid and the chitosan, resulting in the formation of a true chemical complex, rather than just an intimate blend of the two components. The complex can be best described as a salt of chitosan, acting as a base, with one or more acidic species (see definition above).

20

It is applicants' discovery that mixtures of acids with chitosan, in amounts that approach or exceed stoichiometric for salt formation, provide superior performance in the fat-binding application. In a particular embodiment, acceptable betaine hydrochloride complexes with chitosan surprisingly show efficacy in the application and demonstrate good shelf stability, making them especially suitable for the application.

25

30

Further, the applicants have found a method of preparing these chitosan salts which results in at least partial salt formation, taking the formulation from a mixture of chitosan and acid to the formation of an acid-chitosan complex. This provides for a uniform product which may be easily formulated into the final marketable product, but is still stable with regard to molecular weight of the chitosan over time.

A preferred embodiment is the complex of chitosan with betaine hydrochloride. The applicants have found that a dry blend of 100 parts of chitosan and 75 parts of betaine hydrochloride, when treated with water according to the invention to form a complex, forms a homogeneous, water soluble solid. Conversely, when a dry blend or mixture was prepared of the two compounds in the same ratio, the two materials separated, due to their large difference in bulk density, and samples taken from different parts of the container showed greatly different solubility properties.

The preparation of the betaine hydrochloride complex of chitosan also demonstrates the criticality of the use of controlled amounts of water. In this case, when 100 parts of chitosan were treated with 75 parts of betaine hydrochloride and 200 parts of water (which is equivalent to 115% of the total weight of the chitosan and the acid), a granular hydrated chitosan/betaine hydrochloride complex was formed, which was easily dried and ground to give product. However, when the water was increased to 250 parts (equivalent to 143% of the chitosan and the acid), the material became sufficiently hydrated and cohesive to form a stiff, gel-like mass which actually froze the blades of the Hobart mixer, causing the motor to burn out. Drying this gummy mass was quite difficult, as the gel held water for long periods of time. Upon reaching a dry state, the product formed large, extremely hard pieces of the salt, making it very difficult to grind.

In one particular embodiment, wherein the amount of acid is sufficient to protonate enough of the amino groups of chitosan to yield a soluble product (i.e. 75% of stoichiometric or higher), the applicants have found that adding 10% water, based on the sum of the weights of chitosan and betaine hydrochloride, to a

mixture of chitosan and betaine hydrochloride and mixing after the addition, gives a dry powder which easily disperses and dissolves in water to give a viscous chitosan solution.

- 5 In an alternative embodiment, applicants have treated the chitosan in the manner of the invention with lesser amounts of acid to give products that disperse in water and, upon the addition of lesser than usually employed amounts of acid, form a viscous solution of chitosan.
- 10 Low levels of acid generally yield chitosan complexes that are not soluble in water (i.e. not enough of the salt has been formed to render the chitosan water-soluble in its own right). This reinforces the fact that there must be an adequate number of moles of acid present to protonate a major fraction of the amine groups in the chitosan. For example, full solubilization requires at least about 0.75 moles
- 15 of acid for each mole of chitosan. The acid content to be achieved will depend on how much one wants to decrease the acid demand on the stomach of an ingester of the complex.

- Another aspect of the invention relates to the use of water-soluble acid-chitosan
- 20 complexes in the prevention of fat digestion and the overall improvement of an animal's health. In particular it is applicants' discovery that when an effective amount of a water-soluble acid-chitosan complex, and in particular, that of chitosan and betaine hydrochloride, is administered to an animal prior to or during digestion of fat-containing substances, the triglyceride levels within that animal
- 25 are reduced to levels significantly below those observed with the use of chitosan as known in the prior art. Triglyceride levels are known in the art as a measure of fat availability within an animal's system. The following paragraph sets forth a description of triglycerides.

- 30 A triglyceride is a primary form of fat transported within an animal's body. Triglycerides are found as a normal component in an animal's bloodstream. They are compounds (esters) of fatty acids and glycerol that bind to proteins and form low-density lipoprotein (LDL) and very-low density lipoprotein (VLDL).

Normally, triglyceride levels rise immediately after eating. In particular, after an animal eats, its body digests the fats from the food and then releases triglycerides into the bloodstream. The triglycerides are transported throughout the body of the animal to give the animal energy or they are easily stored as fat. Thus, as is
5 known in the prior art, a reduction in the level of triglycerides is directly correlated to a reduction in the fat available to the body through the digestive process.

The liver also produces triglycerides and converts some into cholesterol. Further,
10 there is a link between triglyceride levels and the development of coronary heart disease. High triglyceride levels are an important predictor of myocardial infarction. LDL and VLDL contain large amounts of cholesterol and triglycerides that can adhere to the arteries in the form of fatty plaques. Therefore, a reduction in triglycerides has several beneficial aspects.

15 The administration of the acid-chitosan complex to an animal also has a beneficial effect on the levels of aspartate aminotransferase (AST) and alanine aminotransferase (ALT) in that animal. The levels of AST and/or ALT in an animal relate to characteristics of liver function. For example, ALT levels are
20 present in kidney and muscle as well as liver, and are used to confirm that AST elevations are of liver origin.

It is Applicants' discovery that with the administration of a water-soluble acid-chitosan complex, and particularly chitosan and betaine hydrochloride, the ALT
25 and AST levels were generally found to be significantly lower than that in commercially available chitosan and even the positive control of the drug Xenical™. Water-soluble acid-chitosan complexes are found to be less hepatotoxic than commercially available Chitosan or Xenical™ in animals being fed such products.

30 The advantageous properties of this invention can be further observed by reference to the following examples which illustrate the invention.

EXAMPLES

EXAMPLE 1

Sixty five grams of ground chitosan (-60 mesh), available from DCV, Inc.,
Wilmington, DE, was added to a Hobart mixer. Hydrochloric acid (6.5g on a
5 100% acid basis) was added to enough water to make 150 ml total solution. The
mixer was started at medium speed and the acid solution was sprayed onto the
mix over a 5-minute period. Mixing was continued for 15 minutes following the
addition of acid to yield a homogeneous, moist crumb. At that point, the moist
acid-chitosan complex was put into an aluminum tray and dried overnight in a
10 convection oven, set at 65°C. When dry, the material was re-ground to -60 mesh.
The grinder used was a Tekmar grinder with cooling jacket, Model No. A-10.

To test water solubility, a 1.5g portion was put into a beaker with 150g of water.
A magnetic stirring bar was placed in the beaker and the solution was mixed for
15 one hour. The solid dissolved to give a viscous solution.

EXAMPLE 2

Sixty-five (65) grams of chitosan flake was added to a Waring blender. Solid
betaine hydrochloride (48 g) was added to the chitosan. The mixer was started at
low speed and 100 ml of water was sprayed on over a 5-minute period. Following
20 the addition of water, the blend was mixed for an additional 10 minutes to form
the homogeneous acid-chitosan complex. The moist complex was dried overnight
at 55°C and was then ground to -20 mesh using the Tekmar grinder. 2g of this
was added to water and stirred to give a viscous solution.

EXAMPLE 3

Seventy five (75) pounds of chitosan was added to a Henschel mixer. Solid
betaine hydrochloride (56 lbs.) was added to the chitosan. The mixer was started
at low speed and 10 lbs. Of water was sprayed on over a 2 minute period.
Following the addition of water, the blend was mixed for 15 minutes to form the
30 homogenous acid-chitosan complex, which was then screened through a 20 mesh
screen and packaged. Two grams of this was added to 100 ml of water. A gel

was formed within 1 minute with a pH of approximately 3 with no additional acid added.

EXAMPLE 4

5 A sample of untreated chitosan (2g at 6.7% moisture = 1.87g chitosan on a 100% basis) was placed in 200 ml of water. The initial pH of the slurry was 7.3. One normal (1N) hydrochloric acid was added dropwise, with stirring, until a solution was formed and the final pH was 3.0. It was found that 7.75 ml of acid were required, or 4.144 meq/gm of 100% chitosan.

10 In a like manner, chitosan from the same original lot that had been treated in the manner of the invention such as to form the acid-chitosan complex with a 10% ratio of 100% hydrochloric acid to chitosan (2g at 1.4 % moisture, representing 1.79 g of 100% chitosan) was dissolved and adjusted to pH 3.0. While the pH of the water before introduction of the chitosan was observed to be 7.30, the pH
15 drifted down to 5.7 before any acid was added and the chitosan was observed to visibly begin to hydrate, indicating partial solubility ascribed to partial formation of the acid-chitosan complex. It was found that the treated sample required only 5.4 ml of acid (corresponding to 3.016 meq/gm of 100% chitosan) to lower the pH to 3.0. This is direct confirmation that partial complex formation had occurred
20 and that there was a reduced acid demand to effect solution.

EXAMPLE 5

The purpose of this study was to (1) to compare the fat binding ability of Betasanne™ (chitosan and betaine hydrochloride complex prepared by any of the
25 methods described in the above examples) with that of various commercially available chitosans; (2) to optimize the conditions for maximum absorption of fat from the diet using Betasanne™ or commercially available chitosan; and (3) to compare the efficacy of fat binding using Betasanne™ with that of commercially available chitosan.

30

Study Design

Table 1

Group	Number of Animals	Test Article
1	12	Mixture of Chitosan and 5% Vitamin C
2	12	Chitosan
3	12	Chitin
4	12	Betasanne™
5	12	Mixture of Chitosan and 1% Vitamin C
6	12	High Fat Diet
7	12	Xenical™
8	12	Low Fat Diet

All rats were fed a basal diet for 5 days prior to initiation of dosing on Day 0. At Day 0, animals in Groups 1 to 5 and 7 received the appropriate formulated diet.

- 5 The diet was available *ad libitum*. Animals in Group 6 received only the basal diet throughout the study and animals in Group 8 received Purina Diet #5001 without the addition of additional fat throughout the study. The total amount of the diet consumed by each animal was determined every 3 to 4 days.

10 Results

Table 2 below outlines differences in weight gain and triglyceride, AST and ALT levels in the blood of the rats used in the trial as set forth above.

Table 2

	Chitosan + 5% Vit C	Betasanne	Chitosan	Chitosan + 1% Vit C	Xenical	High Fat	Low Fat
15 Weight Gain (gms)	419	444	464	458	425	469	452
20 Triglycerides (mg/dL)	133	119	157	141	107	172	111
ALT (IU/L)	52	46	54	48	54	41	38
25 AST (IU/L)	80	63	73	64	104	67	83
Bilirubin (mg/dL)	0.4	0.3	0.5	0.5	0.4	0.6	0.2

(Note: For all number values in Table 2, the lower the number, the more effective the product)

Conclusion and Summary

5

On the basis of equal weighting for all the properties that were measured in this study, the two groups which used an acid-chitosan complex as set forth in the invention showed the greatest effects (i.e. Betasanne and Chitosan + 5% ascorbic acid). The animals administered Betasanne or Chitsan + 5% ascorbic gained less weight than did those animals administered either commercially available chitosan or a high fat diet. Similar results were observed for triglyceride levels.

10

15

As for ALT and bilirubin levels, Betasanne is the closest to the high fat and low fat diet, thus showing that it is the least hepatotoxic.

DRY ACID-CHITOSAN COMPLEXES**CLAIMS**

5 We claim:

1. An acid-chitosan complex comprising chitosan, a sufficient amount of one or more acids, and an effective amount of water, wherein said acid-chitosan complex is water-soluble.
- 10 2. The acid-chitosan complex of claim 1 wherein the sufficient amount of acid comprises about 75% or more of stoichiometric, based on chitosan.
3. The acid-chitosan complex of claim 2 wherein the effective amount water is about 5% to 130% of the weight of the acid and the chitosan.
- 15 4. The acid-chitosan complex of claim 3 wherein the effective amount of water is about 5% to 15% of the weight of the acid and the chitosan.
- 20 5. The acid-chitosan complex of claim 1 wherein the acid is selected from the group consisting of: hydrochloric acid, acetic acid, lactic acid, glycolic acid, nitric acid, malic acid, pyruvic acid, citric acid, ascorbic acid, other physiologically acceptable carboxylic acids, betaine hydrochloride, amine hydrochlorides, and combinations thereof.
- 25 6. The acid-chitosan complex of claim 5 wherein the acid comprises betaine hydrochloride.
- 30 7. An acid-chitosan complex produced by the process comprising the following steps:
 - (1) forming a homogenous mix of chitosan and a sufficient amount of one or more acids; and
 - (2) adding an effective amount of water to the homogenous mix to form a uniform complex.
- 35 8. The acid-chitosan complex of claim 7 wherein the sufficient amount of acid comprises about 75% or more of stoichiometric, based on chitosan.

9. The acid-chitosan complex of claim 8 wherein the effective amount water is about 5% to 130% of the weight of the acid and the chitosan.
10. The acid-chitosan complex of claim 8 wherein the effective amount water is about 5% to 15% of the weight of the acid and the chitosan.
11. The acid-chitosan complex of claim 7 wherein the acid is selected from the group consisting of: hydrochloric acid, acetic acid, lactic acid, glycolic acid, nitric acid, malic acid, pyruvic acid, citric acid, ascorbic acid, other physiologically acceptable carboxylic acids, betaine hydrochloride, amine hydrochlorides, and combinations thereof.
12. An acid-chitosan complex produced by a process comprising the following steps:
- (3) dissolving one or more acids in water; and
- (4) applying the acid-water mix to chitosan to form a complex wherein the chitosan is not dissolved; and
- (5) drying the complex.
13. The acid-chitosan complex of claim 12 wherein the sufficient amount of acid comprises about 75% or more of stoichiometric, based on chitosan.
14. The acid-chitosan complex of claim 13 wherein the effective amount water is about 5% to 130% of the weight of the acid and the chitosan.
15. The acid-chitosan complex of claim 13 wherein the effective amount water is about 5% to 15% of the weight of the acid and the chitosan.
16. The acid-chitosan complex of claim 12 wherein the acid is selected from the group consisting of: hydrochloric acid, acetic acid, lactic acid, glycolic acid, nitric acid, malic acid, pyruvic acid, citric acid, ascorbic acid, other physiologically acceptable carboxylic acids and combinations thereof.
17. A method for reducing the release of triglycerides into the blood stream of an animal after the animal has digested a fat-containing substance, the method comprising administering to the animal an acid-chitosan complex prior to or during digestion of the fat-containing substance wherein the acid-chitosan

complex comprises chitosan, a sufficient amount of an acid, and an effective amount of water, wherein said acid-chitosan complex is water-soluble.

- 5 18. The method of claim 17 wherein the acid-chitosan complex is produced by a process comprising the following steps:
- (1) forming a homogenous mix of chitosan and a sufficient amount of one or more acids; and
 - (2) adding an effective amount of water to the homogenous mix to form a uniform complex.
- 10 19. The method of claim 18 wherein the sufficient amount of acid comprises about 75% of stoichiometric.
- 15 20. The method of claim 19 wherein the effective amount water is about 5% to 130% of the weight of the acid and the chitosan.
21. The method of claim 20 wherein the effective amount water is about 5% to 15% of the weight of the acid and the chitosan.
- 20 22. The method of claim 17 wherein the acid is selected from the group consisting of: hydrochloric acid, acetic acid, lactic acid, glycolic acid, nitric acid, malic acid, pyruvic acid, citric acid, ascorbic acid, other physiologically acceptable carboxylic acids, betaine hydrochloride, amine hydrochlorides, and combinations thereof.
- 25 23. The method of claim 17 wherein the acid-chitosan complex is produced by a process comprising the following steps:
- (6) dissolving an acid in water; and
 - (7) applying the acid-water mix to chitosan to form a complex wherein the
- 30 chitosan is not dissolved; and
- (8) drying the complex.
24. The method of claim 23 wherein the sufficient amount of acid comprises about 75% of stoichiometric.
- 35 25. The method of claim 24 wherein the effective amount water is about 5% to 130% of the weight of the acid and the chitosan.

26. The method of claim 25 wherein the effective amount water is about 5% to 15% of the weight of the acid and the chitosan.
- 5 27. The method of claim 23 wherein the acid is selected from the group consisting of: hydrochloric acid, acetic acid, lactic acid, glycolic acid, nitric acid, malic acid, pyruvic acid, citric acid, ascorbic acid, other physiologically acceptable carboxylic acids, betaine hydrochloride, amine hydrochlorides, and combinations thereof.

(19) World Intellectual Property Organization
International Bureau



(43) International Publication Date
31 August 2000 (31.08.2000)

PCT

(10) International Publication Number
WO 00/50090 A3

(51) International Patent Classification⁷: **A61K 47/48, C08B 37/00**

(21) International Application Number: **PCT/US00/04922**

(22) International Filing Date: **25 February 2000 (25.02.2000)**

(25) Filing Language: **English**

(26) Publication Language: **English**

(30) Priority Data:
60/121,391 25 February 1999 (25.02.1999) **US**
Not furnished 25 February 2000 (25.02.2000) **US**

(71) Applicant: **DCV, INC. [US/US]; 3521 Silverside Road, Quillen Building, Wilmington, DE 19810 (US).**

(72) Inventors: **ANGERER, J., David; 11 Slashpine Circle, Hockessin, DE 19707 (US). CYRON, Donald, M.; 531 School Road, Lincoln University, PA 19352 (US). IYER, Subramanian; #4 Homestead Lane, Hockessin, DE 19707 (US). JERRELL, Thomas, A.; 11 Sullivan Chase Drive, Avondale, PA 19311 (US).**

(74) Agent: **KRIKELIS, Basil, S.; DCV, Inc., 3521 Silverside Road, Quillen Building, Wilmington, DE 19810 (US).**

(81) Designated States (*national*): **AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW.**

(84) Designated States (*regional*): **ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).**

Published:

- *With international search report.*
- *Before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments.*

(88) Date of publication of the international search report:
5 April 2001

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: **DRY ACID-CHITOSAN COMPLEXES**

(57) Abstract: The invention is an acid-chitosan complex which is made up of chitosam, a sufficient amount of one or more acids, and an effective amount of water. This acid-chitosan is water-soluble in a dry form. A further aspect of this invention is various methods for producing such a water-soluble acid-chitosan complex and methods for using this acid-chitosan complex, particularly for reducing fat absorption in an animal.



WO 00/50090 A3

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 00/04922A. CLASSIFICATION OF SUBJECT MATTER
IPC 7 A61K47/48 C08B37/00

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
IPC 7 A61K C08B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)
PAJ, WPI Data, EPO-Internal, BIOSIS

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	MUZZARELLI R A A: "Chitosan-based dietary foods" CARBOHYDRATE POLYMERS, GB, APPLIED SCIENCE PUBLISHERS LTD. BARKING, vol. 29, no. 4, 1 April 1996 (1996-04-01), pages 309-316, XP004070988 ISSN: 0144-8617 page 310, right-hand column figures 2,3 page 312, left-hand column -page 313, left-hand column, line 14 table 1	1-27
X	US 5 708 152 A (LOHMANN DIETER ET AL) 13 January 1998 (1998-01-13)	1-16
Y	example A11	17-27
	--- -/-- ---	

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

* Special categories of cited documents:

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

T later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

X document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

Y document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

S document member of the same patent family

Date of the actual completion of the international search

10 January 2001

Date of mailing of the international search report

23/01/2001

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040. Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Dullaart, A

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DOMARD A ET AL: "GLUCOSAMINE OLIGOMERS: 1 PREPARATION AND CHARACTERIZATION" INTERNATIONAL JOURNAL OF BIOLOGICAL MACROMOLECULES, GB, BUTTERWORTH & CO., GUILDFORD, vol. 11, no. 5, 1 October 1989 (1989-10-01), pages 297-302, XP002034421 ISSN: 0141-8130	1-16
Y	abstract page 297, paragraph INTRODUCTION page 302, paragraph CONCLUSION	17-27
X	WO 97 42975 A (GENEMEDICINE INC) 20 November 1997 (1997-11-20)	1-16
Y	example 3	17-27
X	FR 1 500 946 A (R. ARNAUD) 24 January 1968 (1968-01-24)	1-16
Y	page 3, right-hand column, last line -page 4, left-hand column, line 10	17-27
X	FR 2 754 824 A (TRANSGENE SA) 24 April 1998 (1998-04-24)	1-16
Y	example 1	17-27
X	DEMARGER-ANDRE S ET AL: "Chitosan behaviours in a dispersion of undecylenic acid. Morphological aspects" CARBOHYDRATE POLYMERS, GB, APPLIED SCIENCE PUBLISHERSLTD. BARKING, vol. 27, no. 2, 1995, pages 101-107, XP004034446 ISSN: 0144-8617	1-16
Y	abstract page 105 -page 107	17-27
X	VINCENDON M: "Regenerated chitin from phosphoric acid solutions" CARBOHYDRATE POLYMERS, GB, APPLIED SCIENCE PUBLISHERSLTD. BARKING, vol. 32, no. 3-4, 1 March 1997 (1997-03-01), pages 233-237, XP004065249 ISSN: 0144-8617	1-16
Y	abstract page 234, right-hand column, last paragraph -page 236	17-27

	-/--	

INTERNATIONAL SEARCH REPORT

 Int. Application No
 PCT/US 00/04922

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
P,Y	QU X ET AL: "PH-SENSITIVE HYDROGELS BASED ON CHITOSAN AND D,L-LACTIC ACID" RAPRA ABSTRACTS,GB,PERGAMON PRESS LTD. OXFORD, vol. 36, no. 4, April 1999 (1999-04), page 117 XP000827028 ISSN: 0033-6750 abstract	17-27
O,Y	& ACS POLYMERIC MATERIALS SCIENCE AND ENGINEERING, FALL MEETING 1998, CONFERENCE PROCEEDINGS, vol. 79, 22 - 27 August 1998, pages 242-243, Boston, Mass., US	17-27
X	DEMARGER-ANDRE S ET AL: "CHITOSAN BEHAVIOURS IN A DISPERSION OF UNDECYLENIC ACID" CARBOHYDRATE POLYMERS,GB,APPLIED SCIENCE PUBLISHERS LTD. BARKING, vol. 22, no. 2, 1993, pages 117-126, XP000411535 ISSN: 0144-8617	1-16
Y	abstract page 118, left-hand column, paragraph MATERIALS table 1 figures	17-27
X	ROGOZHIN S V ET AL: "THE PARTIAL ACIDIC HYDROLYSIS OF CHITOSAN" POLYMER SCIENCE USSR,GB,PERGAMON PRESS LTD. OXFORD, vol. 30, no. 3, 1988, pages 607-614, XP000133818	1-16
Y	the whole document	17-27
T	RAVI KUMAR M N V: "A review of chitin and chitosan applications" REACTIVE & FUNCTIONAL POLYMERS,ELSEVIER SCIENCE PUBLISHERS BV,NL, vol. 46, no. 1, November 2000 (2000-11), pages 1-27, XP004224437 ISSN: 1381-5148 page 21, right-hand column, paragraph 6.9 -page 22, left-hand column, line 16	17-27
	--- -/--	

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	SIGNINI R ET AL: "ON THE PREPARATION AND CHARACTERIZATION OF CHITOSAN HYDROCHLORIDE" POLYMER BULLETIN, DE, SPRINGER VERLAG. HEIDELBERG, vol. 42, no. 2, February 1999 (1999-02), pages 159-166, XP000804955 ISSN: 0170-0839	1-16
Y	abstract page 160, paragraph EXPERIMENTAL page 165, paragraph CONCLUSIONS	17-27
P, X	BEGIN ANDRE ET AL: "Antimicrobial films produced from chitosan." INTERNATIONAL JOURNAL OF BIOLOGICAL MACROMOLECULES, vol. 26, no. 1, October 1999 (1999-10), pages 63-67, XP000971972 ISSN: 0141-8130	1-16
P, Y	abstract page 64, right-hand column, last paragraph -page 65, left-hand column	17-27
X	FOCHER B ET AL: "CHITOSANS FROM EUPHAUSIA-SUPERBA 2. CHARACTERIZATION OF SOLID STATE STRUCTURE" CARBOHYDRATE POLYMERS, vol. 18, no. 1, 1992, pages 43-49, XP000971992 ISSN: 0144-8617	1-16
Y	abstract page 11, last paragraph -page 16	17-27
X	KIKKAWA Y ET AL: "A CONVENIENT PREPARATION METHOD OF CHITO-OLIGOSACCHARIDES BY ACID HYDROLYSIS" JOURNAL OF THE FACULTY OF AGRICULTURE TOTTORI UNIVERSITY, vol. 26, 1990, pages 9-18, XP000971987 ISSN: 0082-5360	1-16
Y	abstract figures 1,2,4; tables 1,2 page 48, left-hand column, paragraph CONCLUSIONS -right-hand column, last line	17-27

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

This International Searching Authority found multiple (groups of) inventions in this international application, as follows:

1. Claims: 1-16

An acid-chitosan complex according to these claims

2. Claims: 17-27

A method for reducing the release of triglycerides into the blood stream after ingestion using an acid-chitosan complex

INTERNATIONAL SEARCH REPORT

Information on patent family members

In International Application No

PCT/US 00/04922

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
US 5708152	A	13-01-1998	US 5977330 A	02-11-1999
			AT 152132 T	15-05-1997
			AU 3551193 A	30-09-1993
			BR 9301334 A	05-10-1993
			CA 2092513 A	28-09-1993
			DE 59306229 D	28-05-1997
			EP 0563013 A	29-09-1993
			JP 6041202 A	15-02-1994
			MX 9301732 A	31-01-1994
WO 9742975	A	20-11-1997	AU 3133097 A	05-12-1997
			EP 0914161 A	12-05-1999
FR 1500946	A	24-01-1968	NONE	
FR 2754824	A	24-04-1998	FR 2754823 A	24-04-1998
			AU 725723 B	19-10-2000
			AU 4950597 A	15-05-1998
			EP 0934342 A	11-08-1999
			WO 9817693 A	30-04-1998

THIS PAGE BLANK (USPTO)